

## R10 InfoPage

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## Q&amp;D - Office of Water - Watershed Unit Disposition Schedules

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
<a href="#">Link to the common</a> <b>Housekeeping Schedules</b> not included in this table	<a href="#">Link to your full printable</a> OWW - WU <b>File Plan Spreadsheet</b>	<a href="#">Link to Printable</a> <b>Intuitive Folders</b> List
<b>ADMINISTRATIVE RECORDS PURSUANT TO THE ADMINISTRATIVE PROCEDURE ACT:</b> The purpose of the administrative record is to document preregulatory and nonregulatory risk management decisions. It contains meeting notes and summaries, correspondence, press releases, reports, and public comments. The records are available to the public except for information excluded by statute.  Excludes: Superfund site-specific administrative records covered by EPA 019 and administrative records for permits covered by EPA 210.  <b>Item a:</b> Record copy  <b>Function:</b> 108-025-08 294	<b>Item a: Permanent</b> Close inactive records at the conclusion of a significant action.  Transfer nonelectronic records to the National Archives 20 years after file closure.  Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.	N1-412-07-2/10  <del>STATUS: Final</del> 06/30/2007
<b>CONTRACT MANAGEMENT RECORDS:</b> Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).  Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.  <b>Item b:</b> Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)  <b>Item c:</b> Other Contracting Officer's Representative (COR) Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)  <b>Function:</b> 405 202	<b>Item b: Disposable</b> Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.  Destroy 6 years and 3 months after final payment for the overall contract.  <b>Item c: Disposable</b> Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.  Destroy 6 years and 3 months after final payment for the overall contract.	N1-412-06-6/5  <b>Status:</b> Final, 10/31/2008
<b>CONTROLLED &amp; MAJOR CORRESPONDENCE:</b> Includes signed controlled and major correspondence.	<b>Item b: Disposable</b> Close inactive records at end of year.	N1-412-06-10

<p>importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence.</p> <p><b>Item b:</b> Other federal employees</p> <p><b>Function:</b> 404-141-02-01 <b>141</b></p>			
<p><b>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS:</b> Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p><b>Item a(1):</b> Published or released to the public and related background materials - Nonelectronic</p> <p><b>Item a(2):</b> Published or released to the public and related background materials - Electronic</p> <p><b>Item a(3):</b> Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Unpublished or not released to the public and related background materials</p> <p><b>Function:</b> 306-112 <b>007</b></p>	<p><b>Item a(1):Permanent</b> Close inactive records upon issuance or publication or when superseded.  Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p><b>Item a(2):Permanent</b> Close inactive records upon issuance or publication or when superseded.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b> Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b> Close inactive records upon decision to not publish or issue.  Destroy 10 years after file closure.</p>	<p>N1-412-06-7</p> <p><b>Status:</b> Final, 12/31/2010</p>	
<p><b>ENFORCEMENT ACTION FILES:</b> Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions; corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees. Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.</p> <p><b>Item a:</b> Administrative case files, whether a formal enforcement action is initiated or not</p> <p><b>Item b:</b> Judicial case files where routine legal actions are required</p> <p><b>Item c(1):</b> Landmark or precedent cases - Nonelectronic Includes cases as designated by the Regional Administrator's designee.</p> <p><b>Item c(2):</b> Landmark or precedent cases - Electronic Includes cases as designated by the Regional Administrator's designee.</p> <p><b>Item c(3):</b> Landmark or precedent cases - Electronic copy of records transferred to the National Archives</p>	<p><b>Item a:Disposable</b> Close inactive records upon settlement or closing of case.  Destroy 10 years after file closure.</p> <p><b>Item b:Disposable</b> Close inactive records upon settlement or closing of case.  Destroy 20 years after file closure.</p> <p><b>Item c(1): Permanent</b> Close inactive records upon settlement or closing of case.  Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p><b>Item c(2): Permanent</b> Close inactive records upon settlement or closing of case.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p><b>Item c(3): Disposable</b></p>	<p>N1-412-07-2/9</p> <p><b>Status:</b> Final, 1/31/2009</p>	

<p>Function: 305-109-01 257</p>	<p>successfully transferred to the National Archives.</p>	
<p><b>FINAL DELIVERABLES AND REPORTS:</b> Consists of final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.</p> <p><b>Item a(1):</b> Environmental programs, except Superfund site-specific - Nonelectronic  <b>Item a(2):</b> Environmental programs, except Superfund site-specific - Electronic  <b>Item a(3):</b> Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives  <b>Item b:</b> Superfund site-specific  <b>Item c:</b> Non-environmental programs</p> <p><b>Function:</b> 305-109-01 258</p>	<p><b>Item a(1):Permanent</b>  Close inactive records upon completion of project.  Transfer to the National Archives 20 years after file closure.</p> <p><b>Item a(2):Permanent</b>  Close inactive records upon completion of project.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b>  Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b:Disposable</b>  Close inactive records upon completion of project.  Destroy 30 years after file closure.</p> <p><b>Item c:Disposable</b>  Close inactive records upon completion of project.  Destroy 7 years after file closure.</p>	<p>N1-412-06-27</p> <p><b>Status:</b> Final, 2/28/2011</p>
<p><b>GRANTS &amp; OTHER PROGRAM SUPPORT AGREEMENTS:</b> Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.</p> <p>Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest</p>	<p><b>Item a: Disposable</b>  Close inactive records immediately after closeout of the agreement.  Destroy 10 years after file closure.</p>	<p>N1-412-07-34</p> <p><b>Status:</b> Final, 7/31/2010</p>

<p>documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.</p> <p>Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).</p> <p><b>Item a:</b> Record copy</p> <p><b>Function:</b> 205 003</p>		
<p><b>LITIGATION INVOLVING EPA:</b> Includes records documenting the nature, course, and outcome of defensive litigation involving EPA and related to EPA's environmental laws (e.g., Clean Air Act, Clean Water Act). Also includes defensive litigation involving matters outside of EPA's specific environmental regulatory statutes (e.g., Freedom of Information Act, Endangered Species Act, contracts, personnel, federal tort claims, etc.) as well as cases where the government brings suit on a matter outside of EPA's regulatory area (e.g., someone owes the Government money). The types of documents may include: court pleadings and orders, opinions, depositions, interrogatories, transcripts, affidavits, exhibits, documents related to discovery and evidence, and any other documents relied on to make the case. Excludes: EPA enforcement actions (other than defensive cases) scheduled as EPA 207 except for Superfund site-specific cases covered by EPA 025.</p> <p><b>Item a.</b> Record copy.</p> <p><b>Function:</b> 317-260 675</p>	<p><b>Item a: Disposable</b> Close inactive records upon completion of case.  Destroy 10 years after file closure</p>	<p>N1-412-07-53/4</p> <p><b>Status:</b> Final 2/29/08</p>
<p><b>REGULATIONS, STANDARDS, &amp; GUIDELINES:</b> Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted</p> <p><b>Item a(1):</b> Published regulations, standards, and guidelines - Nonelectronic</p> <p><b>Item a(2):</b> Published regulations, standards, and guidelines - Electronic</p> <p><b>Item a(3):</b> Published regulations, standards, and guidelines - Electronic copy of records transferred to the National Archives</p> <p><b>Item b:</b> Unpublished regulations, standards, and guidelines</p>	<p><b>Item a(1): Permanent</b> Close inactive records upon promulgation of rule or approval of guideline.  Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p><b>Item a(2): Permanent</b> Close inactive records upon promulgation of rule or approval of guideline.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p><b>Item a(3): Disposable</b> Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p> <p><b>Item b: Disposable</b> Close inactive records upon decision to not publish the regulation, standard, or guideline.</p>	<p>N1-412-07-2/6</p> <p><b>Status:</b> Final, 02/29/2008</p>

	completed.	
<p><b>SOLICITED AND UNSOLICITED BIDS AND PROPOSALS FILES:</b> Includes records related to successful contract bids and proposals, solicited and unsolicited unsuccessful bids and proposals, canceled solicitations, and lists of acceptable bidders.</p> <p><b>Item a:</b> Successful bids and proposals;</p> <p><b>Item b(1):</b> Solicited and unsolicited unsuccessful bids and proposals - Small purchases. Includes small purchases as defined in the Federal Acquisition Regulations (FAR), 48 CFR Part 13;</p> <p><b>Item b(2)(a):</b> Solicited and unsolicited unsuccessful bids and proposals - Large purchases when filed separately from contract case files. Includes transactions above the small purchase limitations in 48 CFR Part 13;</p> <p><b>Item b(2)(b):</b> Solicited and unsolicited unsuccessful bids and proposals - Large purchases when filed with contract case files; Includes transactions above the small purchase limitations in 48 CFR Part 13;</p> <p><b>Item c(1):</b> Canceled solicitations - Formal solicitations of offers to provide products or services that were cancelled prior to award of a contract; Includes Invitations for Bids, Requests for Proposals, and Requests for Quotations, presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of cancellation;</p> <p><b>Item c(2):</b> Canceled solicitations - Unopened bids;</p> <p><b>Item d:</b> Lists or card files of acceptable bidders</p> <p><b>Function:</b> 405 275</p>	<p><b>Item a: Disposable</b> File with related records and follow disposition instructions for related records (EPA 020 for Superfund site-specific contracts or EPA 202 for other contracts).</p> <p><b>Item b(1): Disposable</b> Destroy 1 year after date of award or final payment, whichever is later.</p> <p><b>Item b(2)(a): Disposable</b> Destroy when related contract is completed.</p> <p><b>Item b(2)(b): Disposable</b> File with related records and follow disposition instructions for related records (EPA 020 for Superfund site-specific contracts or EPA 202 for other contracts).</p> <p><b>Item c(1): Disposable</b> Destroy 5 years after date of cancellation.</p> <p><b>Item c(2): Disposable</b> Return to bidder.</p> <p><b>Item d: Disposable</b> Destroy when superseded or obsolete.</p>	<p>General Records Schedule 3/5</p> <p><b>Status:</b> Final, 04/30/2007</p>
<p><b>SPECIAL STUDIES:</b> Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides. Excludes: Final studies and surveys scheduled as EPA 258 and management studies scheduled as EPA 105.</p> <p><b>Item a:</b> Record copy</p> <p><b>Function:</b> 108 005</p>	<p><b>Item a: Disposable</b> Close upon completion of study. Destroy 7 years after file closure.</p>	<p>N1-412-07-1/1</p> <p><b>Status:</b> Final, 03/30/2007</p>
<p><b>STATE AND OTHER ENTITY PROGRAM AUTHORIZATION AND APPROVAL FILES:</b> Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's</p>	<p><b>Item a(1): Permanent</b> Close inactive records at end of year or after new authorization is signed.  Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p><b>Item a(2): Permanent</b> Close inactive records at end of year or after new authorization is signed.</p>	<p>N1-412-07-2/8</p> <p><b>Status:</b> Final, 1/31/2011</p>

<p>authorization withdrawals as it applies to the initial program authorization and subsequent revisions</p> <p><b>Item a(1):</b> Record copy - Nonelectronic  <b>Item a(2):</b> Record copy - Electronic  <b>Item a(3):</b> Electronic copy of records transferred to the National Archives</p> <p><b>Function:</b> 304-104-03 204</p>	<p>external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item a(3):Disposable</b>  Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p>	
<p><b>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES:</b> Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions.  <b>Item a:</b> Record copy</p> <p><b>Function:</b> 301-093 203</p>	<p><b>Item a: Disposable</b>  Close inactive records at end of year.  Destroy 10 years after file closure.</p>	<p>N1-412-07-1/9</p> <p><b>Status:</b> Final, 03/30/2007</p>
<p><b>TRAINING MATERIAL:</b> Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p><b>Item a:</b> Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p> <p><b>Item c(1):</b> Mission-related training materials - Nonelectronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p><b>Item c(2):</b> Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p><b>Item c(3):</b> Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p><b>Function:</b> 305-109-02-04 200</p>	<p><b>Item a: Disposable</b>  Close inactive records after course or material is superseded.  Destroy 5 years after file closure.</p> <p><b>Item c(1):Permanent</b>  Close inactive records after course or material is superseded.  Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p><b>Item c(2): Permanent</b>  Close inactive records after course or material is superseded.  Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p><b>Item c(3):Disposable</b>  Close file upon transfer to the National Archives.  Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-11</p> <p><b>Status:</b> Final, 04/30/2012</p>
<p><b>UNSUCCESSFUL GRANT APPLICATION FILES:</b> Includes but is not limited to applications, proposals, correspondence, and other records and documentation related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications for grants and unsolicited</p>	<p><b>Item a: Disposable</b>  Close inactive records after rejection or withdrawal.  Destroy 3 years after file closure.</p>	<p>GRS 3/13</p> <p><b>Status:</b> Final, 02/14/2007</p>

application or unsolicited proposal for award.

**Item a:** Record copy

**Function:** 205 274

**WATER QUALITY PLANNING & MANAGEMENT FILES:** Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality management plans, water quality reports, TMDLs (Total Maximum Daily Loads), load allocation working papers, water quality models, correspondence and other related documents.

**Item a(1):** Final plans and annual and biennial reports - Nonelectronic  
Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

**Item a(2):** Final plans and annual and biennial reports - Electronic  
Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

**Item a(3):** Final plans and annual and biennial reports - Electronic copy of records transferred to the National Archives  
Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

**Item b:** Supporting files

**Function:** 108-025-02 213

**EPA NON-RECORDS:** Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition.

Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts.

**Function:** 0 008

[Accessibility](#)

**Item a(1):Permanent**

Close inactive records at end of year.

Transfer to the National Archives 10 years after file closure.

**Item a(2):Permanent**

Close inactive records at end of year.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

**Item a(3):Disposable**

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

**Item b:Disposable**

Close inactive records at end of year.

Destroy 10 years after file closure.

N1-412-08-7/2

**Status:** Final,  
2/28/2011

**Item a:Disposable**

Close when obsolete, superseded or no longer needed for reference.

Destroy immediately after file closure.

**NOT  
APPLICABLE**

**Status:** Final,  
02/12/2007

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[EPA Home](#)

[One EPA Workplace](#)

[A-Z Index](#)

[Region 10 Pacific  
Northwest \(Internet\)](#)

[Back to InfoPage](#)